

## **U.S. Fish and Wildlife Service**

Office of Science Applications, Alaska Region  
In support of the  
Western Alaska Landscape Conservation Cooperative

Catalog of Federal Domestic Assistance (CFDA) Numbers:  
15.669 – Cooperative Landscape Conservation  
15.670 – Adaptive Science

Funding Opportunity Announcement Number: **F17AS00268**

**SUBMISSION DEADLINE: July 20, 2017, 11:59 AM, ALASKA STANDARD TIME (AKST)**

### **Notice of Funding Opportunity**

#### **I. Description of Funding Opportunity**

The U.S. Fish and Wildlife Service (Service) receives funds to support collaborative science and indigenous knowledge activities of the Western Alaska Landscape Conservation Cooperative (LCC). The Service administers these funds through financial assistance on a competitive basis for projects, studies, and events that advance the scientific and public community's understanding of large-scale changes in landscape characteristics and the impacts of these changes on important species. The following is a request for proposals addressing the needs of the priority specific near-term needs listed below. Funding will likely begin September 2017 and there should be no expectation that additional funding from the Western Alaska LCC will be provided in future years for the proposed project.

#### **Background**

In 2016, the Western Alaska and Aleutian and Bering Sea Islands Landscape Conservation Cooperatives (LCCs) helped to host a series of Coastal Resilience and Adaptation workshops in Nome, Unalaska, King Salmon and Kotzebue. These workshops brought together decision-makers from land and resource management agencies in the region, as well as from Tribes and local governments, to meet with scientists and statewide agency representatives to discuss adaptation needs and opportunities. A diverse group of core team members worked together to shape each workshop to meet the needs of the local area. These series of workshops has led to many successful actions, to new partnerships, and products in the final stages of development.

The Western Alaska Landscape Conservation Cooperative is initiating a new adaptation and resilience planning effort for the Yukon-Kuskokwim Delta (Y-K Delta) which will include at least one workshop in Bethel, Alaska. This effort will lead to the collaborative development of recommendations for adaptation strategies across the region to address large landscape-scale changes to resources and the environment.

The successful applicant will be able to build off existing relationships within the Y-K Delta region, and with state and federal agencies, to design and implement an engagement process that uses a modification of the Open Standards for the Practice of Conservation Process ([Open Standards](#)) to identify actions and strategies within the area to promote adaptation and resilience. The Open Standards process has been used successfully to help LCCs, agencies, and non-governmental organizations identify the challenges and opportunities for actions to improve adaptation and conservation. The successful applicant must have expertise in adapting Open Standards to meet stakeholder needs. In particular, the intent is to modify Open Standards so that it incorporates indigenous knowledge as an equally important way of understanding as 'western science'. Additionally, the successful applicant will have experience working with U.S. Fish and Wildlife Service Refuges in a planning context. The end-products of this work will consist of reports and maps (with corresponding digital data layers) that can be used to help inform

decisions of diverse stakeholders. While the focus of this work is on the biological and ecological components of the Y-K Delta as they are changing with climatic conditions, we recognize that the connection of these changes to communities and culture are strong and anticipate some effort may be directed towards impacts to these topics as well.

Due to significant budget uncertainty in FY18 and FY19, we anticipate that the successful applicant will need to be adaptable to meet changing circumstances. It is possible that the LCC staff will not be available to participate in guiding the training and work session development, so the consultant will need to work with the LCC Steering Committee to assist them in establishing the structure/support needed to engage in the training and work sessions and similar efforts without dedicated LCC staff.

This scope of work is written to reflect the current funding scenario and an additional funding (Option Funding) scenario. The additional funding scenario will only be attainable if additional funding to support the training and work session(s) can be obtained either by partners participating in the planning effort, the successful applicant to this announcement or through future LCC funding. Additional funding will not, necessarily, go to the successful applicant of this announcement but would support the overall effort. We anticipate that as the funding situation becomes clearer, the consultant will adjust the emphasis between budget categories to meet the needs of the overall effort.

Under the current funding scenario, the funds distributed in this agreement are the only funds available for conducting the work. Expected tasks include:

1. Host and organize multiple meetings with a core planning team (team must include at least one representative from the Association of Village Council Presidents (AVCP) and from the Yukon Delta National Wildlife Refuge)
  - a. At least two in-person meetings with core planning team members located in Bethel prior to the first broad participation training and work session to ensure that the event is organized effectively for the region.
2. In addition to overall organization questions, work with the core team members and Western Alaska Steering Committee members to:
  - a. Identify the initial list of conservation topics (species/species groups/processes/impacts)
  - b. Work through examples of the Open Standards Results Chain on a few conservation topics and modify the process so that it effectively captures indigenous knowledge as well as knowledge from 'western science'.
  - c. Identify the 'desired future' for a short list of conservation topics to be highlighted at a training and work session.
  - d. Agree upon training and work session outcomes, interim products to use in the training and work session and final products.
3. Ensure that this effort builds from 2016 Coastal Resilience and Adaptation training and work sessions, as appropriate.
4. Host at least one training and work session that brings together experts from Tribes and local resource/land decision makers in the Y-K Delta region, Alaska-wide decision makers (as appropriate), and key scientific experts.
  - a. Provide travel support for a subset of the participants to ensure that there are Tribal members who can offer different perspectives for different regions within the Y-K Delta, and a few key scientists who may need travel support.
  - b. In total, we anticipate that a training and work session for the full geography would consist of 50 to 75 participants/organizers.
5. Summarize and distribute findings into a final report and digital map product that can be used by communities and agencies to enhance adaptation and resilience on the delta.

Under the additional funding scenario, the scope of the training and work sessions will expand should additional funding be obtained, either through partners supporting some aspect of the work described

above (e.g. travel support for tribal members), or through additional support into this agreement. We anticipate the following expansion to the five tasks described above.

1. Following the first training and work session, draft recommendations and strategies, gather additional information and tools as appropriate.
2. Facilitate and host a second training and work session with as many of the same participants as possible. The second training and work session would be designed so that participants can have greater input into recommendations and the identification of locations where different strategies most apply.
3. Summarize recommendations, strategies, and relevant adaptation tools into final products that can be used by communities and agencies to make management decisions.

## **II. Federal Award Information**

Currently, the source of general funding is federally appropriated funds directed to the Service. Up to \$90,000 may be awarded under this announcement. Due to the limited funds available, one applicant will be awarded up to \$90,000. Any award is contingent on the availability of funds.

Proposals are due by July 11, 2017 at 11:59 Am AKST.

The period of performance for the majority of projects funded under this program is September 2017 to March 2020, starting on the date the award is signed by the USFWS and ending no later than March 1, 2020. Project proposals must be designed accordingly.

This program uses interagency and cooperative agreements as the primary assistance instrument; it is expected that the Service (and Western Alaska LCC staff) will have substantial involvement in the funded activities. In rare cases, grants may be the appropriate funding mechanism. For institutions participating within the Cooperative Ecosystems Studies Units programs, these tasks may be suitable for those programs. In addition, the Service will serve as the primary link to the Western Alaska LCC Steering Committee and the awardee. In general, past and present recipients of awards under this program are eligible. However, applications for renewal or supplementation of existing projects are not eligible to compete with applications for new awards.

## **III. Eligibility Information**

### **Eligible Applicants:**

Potential applicants that are eligible for funding include Commercial, Foreign, Individuals, Institutions of Higher Education, Non-Profit Organizations, State Government, Local Government, Federally-Recognized Indian Tribal Governments, and Cooperative Ecosystem Studies Unit (CESU) Network. Federal entities are not eligible. Individuals and organizations submitting investigation plans should have the necessary technical and administrative abilities and resources to ensure successful completion of the proposed work.

U.S. non-profit, non-governmental organizations **must** provide a copy of their Section 501(c)(3) or (4) status determination letter received from the Internal Revenue Service.

Federal law mandates that all entities applying for Federal financial assistance must have a valid Dun & Bradstreet Data Universal Number System (DUNS) number and have a current registration in the System for Award Management (SAM). See Title 2 of the Code of Federal Regulations (CFR), Part 25 for more information. Exemptions: The SAM registration requirement does not apply to individuals submitting an application on their own behalf and not on behalf of a company or other for-profit entity, state, local or Tribal government, academia or other type of organization.

Federal Award may not be made to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements additionally if an applicant has not fully complied with the

requirements by the time the Service is ready to make the award, the Service may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

#### **A. DUNS Registration**

Request a DUNS number at <http://fedgov.dnb.com/webform>. For technical difficulties, contact Dun & Bradstreet by email at: [govt@dnb.com](mailto:govt@dnb.com), or by calling the Government Customer Resource Center at voice phone: 866-705-5711 or TTY line: 877-807-1679 (hearing impaired customers only). Once assigned a DUNS number, entities are responsible for maintaining up-to-date information with Dun & Bradstreet.

#### **B. Entity Registration in SAM**

Register in SAM at [www.sam.gov](http://www.sam.gov). Once registered in SAM, entities must renew and revalidate their SAM registration at least every 12 months from the date previously registered. Entities are strongly urged to revalidate their registration as often as needed to ensure that their information is up to date and in synch with changes that may have been made to DUNS and IRS information. Foreign entities who wish to be paid directly to a United States bank account must enter and maintain valid and current banking information in SAM.

Note: The official U.S. government website address for SAM is [www.sam.gov](http://www.sam.gov). There is NO COST to register in or access SAM.gov. There are third-party vendors who charge a fee in exchange for registering entities in SAM; please be aware that you can register to do business with the U.S. government FOR FREE directly in SAM at [www.sam.gov](http://www.sam.gov).

#### **C. Excluded Entities**

Applicant entities identified in the SAM.gov Exclusions database as ineligible, prohibited/restricted or excluded from receiving Federal contracts, certain subcontracts, and certain Federal assistance and benefits will not be considered for Federal funding, as applicable to the funding being requested under this Federal program.

#### **D. Cost Sharing or Matching:**

Cost sharing or matching is not an eligibility requirement but is highly desirable to support the collaborative goals of the Western Alaska LCC. Therefore, cost leveraging is considered within the evaluation criteria. Both federal and non-federal sources of cost sharing, including contribution of in-kind services, can be considered in meeting the leveraging and partnership criterion. No letters of concurrence from partners are required.

### **IV. Application Requirements**

Proposals should not exceed eight pages for the Project Title Page and Project Narrative (excluding the Literature Cited and Figures which can be included as additional pages), as described in the guidance document, and no more than 1-2 pages of *curricula vitae* (resume or letters of experience) for the project leads. Use Times New Roman, size 12 font, and single spacing. *Pages beyond the allowed amount will not be reviewed.* To be considered for funding under this funding opportunity, an application must contain:

#### **A. Application for Federal Assistance form**

A completed, signed and dated *Application for Federal Assistance* (i.e., SF 424, SF 424-Mandatory, or SF 424-Individual) forms are required for submissions from non-Federal entities. Do not include other Federal sources of funding, requested or approved, in the total entered in the “Federal” funding box on the Application for Federal Assistance form. Enter only the amount being requested under this program in the “Federal” funding box. Include any other Federal sources of funding in the total funding entered in the “Other” box. The SF-424 form is available online at <http://apply07.grants.gov/apply/FormLinks?family=15>.

## B. Summary of Proposed Work

1. **Title page:** on a single page, include project title, principal investigator(s) and contact information, collaborators and contact information, estimated budget request.
2. **Summary:** Briefly summarize the project, in one page or less. Include the geographic location, and a brief overview of the project intent, goal(s), objectives, specific project activities, beneficiaries, and expected outcomes consistent with this funding opportunity. As applicable, describe how you/your organization has coordinated with and involved other relevant organizations or individuals in planning the project, and detail if/how they will be involved in conducting project activities and/or disseminating project results.

## C. Narrative of Proposed Work

3. **Statement of Intent:** Summarize intent of proposed work. Summarize previous or on-going efforts (of you/your organization, and other organizations or individuals) relevant to the proposed work. Describe your experience in working with Open Standards for the Practice of Conservation and your experience in modifying the formal Open Standards guidance to bring indigenous knowledge into the process. Describe the applicant's experience in working with organizations undergoing transformation and how you were able to facilitate their engagement to continue to meet stated goals and objectives.
4. **Goals and Objectives:** State the long-term, overarching goal(s) of the proposed work. State the objectives. Objectives are the specific outcomes to be accomplished in order to reach the stated goal(s). The objectives must be specific, measurable, and realistic (attainable within the project's proposed project period). State the anticipated outcomes and/or benefits of the project.
5. **Project Framework, Activities and Timetables:** List the proposed project activities and describe how they relate to the stated objectives. Activities are the specific actions to be undertaken to fulfill the objectives and reach the goal(s) of the proposed work. The activities narrative must be detailed enough for reviewers to make a clear connection between the activities and the proposed costs. Provide a detailed description of the organizational framework and process to be used to carry out each activity. Provide a timetable indicating roughly when activities or project milestones are to be accomplished. Include any resulting tables, spreadsheets or flow charts within the body of the project narrative (do not include as separate attachments). The timetable should not propose specific dates but instead group activities by month for each month over the entire proposed project period. Describe how the outcomes and products from the work will be delivered to relevant stakeholders in the Yukon Kuskokwim Delta and how stakeholders can utilize the products to implement climate adaptation strategies. Please provide a second timetable that would describe the inclusion of a follow-up training and work session in Bethel to increase engagement and ownership in the results.
6. **Data Management:** Include a summary of the project data management plan identifying any anticipated limitations on public access and reuse of deliverables including reports, outreach material, and data products, and identifying a long-term data management & curation strategy (such as an existing publically-accessible repository and data server). A full data management plan will be required for funded projects (see <http://westernalaskalcc.org/projects/SitePages/piresources.aspx>).
7. **Stakeholder Coordination/Involvement:** Describe how you/your organization have coordinated with relevant tribal and agency organizations or individuals in the Yukon Kuskokwim Delta region. As applicable, describe in detail if/how they will be involved in conducting project

activities, the dissemination of final deliverables and/or incorporating your products into their activities. Describe if/how the applicant has worked with Western Alaska LCC Steering Committee members and staff in the past and how they will be involved in the proposed work.

8. **Monitoring and Evaluation of Proposed Work:** The project must incorporate a monitoring and evaluation plan that ascertains the quality of benefits and outputs and to ensure that the benefits/outputs reach the intended beneficiaries. Describe how you/your organization (or others) will monitor project progress and measure the project's impacts. Include details on how you/your organization will assess progress towards reaching objectives, and, as applicable, how project participants and beneficiaries will participate in these activities.
9. **Description of Entities Undertaking the Proposed Work:** Provide a brief description of the applicant organization and all participating entities and/or individuals. Identify which of the proposed activities each agency, organization, group, or individual is responsible for conducting or managing. Provide complete contact information for the individual within the organization that will oversee/manage the project activities on a day-to-day basis. If eligibility for funding is based in whole or in part on the qualifications of key personnel, provide for each key person a brief (**1-2 pages**) *curricula vitae* (CV), resume or letters of experience for key personnel, identifying their qualifications to meet the project objectives. ***Do not include Social Security numbers, the names of family members, or any other personal or sensitive information!***
10. **Literature Cited:** If **not** applicable to your proposal please mark this is Not Applicable.
11. **Single Audit Statement:** Enter the appropriate single audit language from Section F below.

#### **D. Budget Form**

Complete the **Budget Information for Non-Construction Programs (SF 424A)** or **Budget Information for Construction Programs (SF 424C) form**. Use the SF 424A if your project does not include construction and the SF 424C if the project includes construction or land acquisition. The budget forms are available on the Internet at <http://apply07.grants.gov/apply/FormLinks?family=15>. When developing your budget, keep in mind that financial assistance awards and subawards are subject to the Federal cost principles in Title 2 of the Code of Federal Regulations Part 200, as applicable to the recipient organization type.

Links to the full text of the Federal cost principles are available on the Internet at [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

**Multiple Federal Funding Sources:** If the project budget includes multiple Federal funding sources, you must show the funds being requested from this Federal program *separately* from any other requested/secured Federal sources of funding on the budget form. For example, enter the funds being requested from this Federal program in the first row of the Budget Summary section of the form and then enter funding related to other Federal programs in the subsequent row(s). Be sure to enter each Federal program's CFDA number in the corresponding fields on the form. The CFDA number for this Federal program appears on the first page of this funding opportunity.

#### **E. Budget Justification**

In a separate narrative titled "**Budget Justification**", explain and justify all requested budget items/costs. Detail how the Budget Object Class Category totals on the SF-424A were determined and demonstrate a clear connection between costs and the proposed project activities. For personnel salary costs, include the base-line salary figures and the estimates of time (as percentages) to be directly charged to the project. Describe any item that under the applicable Federal cost principles requires the Service's approval and estimate its cost.

If Federally-funded equipment will be used for the project, provide a list of that equipment including the Federal funding source. Applicants cannot attribute equipment paid for by the U.S. Federal Government under another award as matching or in-kind contributions. Do not include this type of equipment in your budget! Instead, provide a separate list of any equipment paid for by the U.S. Federal Government that will be used for the project, including the name of the Federal agency that paid for the equipment.

**Required Indirect Cost Statement:** All applicants except individuals applying for funds separate from a business or non-profit organization he/she may operate must include in the budget justification narrative one of the following statements and attach to their application any required documentation identified in the applicable statement:

“We are:

1. A U.S. state or local government entity receiving more than \$35 million in direct Federal funding each year with an indirect cost rate of [insert rate]. We submit our indirect cost rate proposals to our cognizant agency. A copy of our most recently approved rate agreement/certification is attached.
2. A U.S. state or local government entity receiving less than \$35 million in direct Federal funding with an indirect cost rate of [insert rate]. We are required to prepare and retain for audit an indirect cost rate proposal and related documentation to support those costs.
3. A [insert your organization type; U.S. states and local governments, please use one of the statements above or below] that has previously negotiated or currently has an approved indirect cost rate with our cognizant agency. Our indirect cost rate is [insert rate]. [Insert either: “A copy of our most recently approved but expired rate agreement is attached. In the event an award is made, we will submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after the award is made.” or “A copy of our current, approved rate agreement(s) is attached.”]
4. A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency. Our indirect cost rate is [insert rate]. In the event an award is made, we will submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after the award is made.
5. A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency and has an indirect cost rate that is lower than 10%. Our indirect cost rate is [insert rate; must be lower than 10%]. However, in the event an award is made, we will not be able to meet the requirement to submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after award. We request as a condition of award to charge a flat indirect cost rate of [insert rate; must be lower than 10%] of [insert a clear description of the direct cost base against which your rate is charged (e.g., salaries; salaries and fringe benefits; or modified total direct costs). However, please note that your organization cannot charge indirect costs in excess of the indirect costs that would be recovered if applied against modified total direct costs as defined in 2 CFR 220.68. We understand that we must notify the Service in writing immediately if we establish an approved rate with our cognizant agency at any point during the award period.
6. A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency and has an indirect cost rate that is 10% or higher. Our indirect cost rate is [insert your organization’s indirect rate; must be 10% or higher]. However, in the event an award is made, we will not be able to meet the requirement to submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after award. We request as a condition of award to charge a flat *de minimis* indirect cost rate of 10% of modified total direct costs as defined in 2 CFR 200.68. We understand that we must notify the Service in writing immediately if we do establish an approved rate with our cognizant agency at any point during the award period. We



understand that additional Federal funds may not be available to support an unexpected increase in indirect costs during the project period and such changes are subject to review, negotiation, and prior approval by the Service.

7. A [insert your organization type] that is submitting this proposal for consideration under the [insert either “Cooperative Fish and Wildlife Research Unit Program” or “Cooperative Ecosystem Studies Unit Network”], which has a Department of the Interior-approved indirect cost rate cap of [insert program rate]. If we have an approved indirect cost rate with our cognizant agency, we understand that we must apply this reduced rate against the same direct cost base as identified in our approved indirect cost rate agreement. If we do not have an approved indirect cost rate with our cognizant agency, we understand that the basis for direct costs will be the modified total direct cost base defined in 2 CFR 200.68 “Modified Total Direct Cost (MTDC)”. We understand that we must request prior approval from the Service to use the MTDC base instead of the base identified in our approved indirect cost rate agreement, and that Service approval of such a request will be based on: 1) a determination that our approved base is only a subset of the MTDC (such as salaries and wages); and 2) that use of the MTDC base will still result in a reduction of the total indirect costs to be charged to the award. In accordance with 2 CFR 200.405, we understand that indirect costs not recovered due to a voluntary reduction to our federally negotiated rate are not allowable for recovery via any other means.
8. A [insert your organization type] that will charge all costs directly.

**All applicants are hereby notified of the following:**

- Recipients without an approved indirect cost rate are prohibited from charging indirect costs to a Federal award. Accepting the 10% *de minimus* rate as a condition of award is an approved rate.
- Failure to establish an approved rate during the award period renders all costs otherwise allocable as indirect costs unallowable under the award.
- Only the indirect costs calculated against the Federal portion of the total direct costs may be charged to the Federal award. Recipients may not charge to their Service award any indirect costs calculated against the portion of total direct costs charged to themselves or charged to any other project partner, Federal and non-Federal alike.
- Recipients must have prior written approval from the Service to transfer unallowable indirect costs to amounts budgeted for direct costs or to satisfy cost-sharing or matching requirements under the award.
- Recipients are prohibited from shifting unallowable indirect costs to another Federal award unless specifically authorized to do so by legislation.”

Applicants who are individuals applying for funds separate from a business or non-profit organization he/she may operate are not eligible to charge indirect costs to their award. If you are an individual applying for funding, do not include any indirect costs in your proposed budget.

For more information on indirect cost rates, see the Service’s **Indirect Costs and Negotiated Indirect Cost Rate Agreements** guidance document on the Internet at <https://www.fws.gov/grants/atc.html> under the “Resources” tab.

**Negotiating an Indirect Cost Rate with the Department of the Interior:**

Entities that do not have a NICRA, must have an open, active Federal award before they can submit an indirect cost rate proposal to their cognizant agency. The Federal awarding agency that provides the largest amount of direct funding to your organization is your cognizant agency, unless otherwise assigned by the White House Office of Management and Budget (OMB). If the Department of the Interior is your cognizant agency, your indirect cost rate will be negotiated by the Interior Business Center (IBC). For more information, contact the IBC at:



Indirect Cost Services  
Acquisition Services Directorate, Interior Business Center  
U.S. Department of the Interior  
2180 Harvard Street, Suite 430  
Sacramento, CA 95815  
Phone: 916-566-7111 - Fax: 916-566-7110  
Email: Through <https://www.doi.gov/ibc/contactus/ibcfeedback> web form  
Internet address: <https://www.doi.gov/ibc/services/finance/indirect-cost-services>

- F. Single Audit Reporting Statements:** As required in [Title 2 of the Code of Federal Regulations Part 200, Subpart F Audit Requirements](#), all U.S. states, local governments, federally-recognized Indian tribal governments, and non-profit organizations expending \$750,000 USD or more in Federal award funds in a fiscal year must submit a Single Audit report for that year through the Federal Audit Clearinghouse's Internet Data Entry System.

**All U.S. state, local government, federally-recognized Indian tribal government and non-profit applicants must provide a statement regarding if your organization was or was not required to submit a Single Audit report for the organization's most recently closed fiscal year. If required, state that the report is available on the Federal Audit Clearinghouse Single Audit Database website (<https://harvester.census.gov/facweb/>) and provide the EIN under which that report was submitted.**

See the following statements **and include all applicable statements at the end of the Project Narrative in number 10, titled: Statement(s) Regarding Single Audit Reporting**

Single Audit Report **was** required:

My organization was required to submit a Single Audit report last year. The reporting period covered was from (insert date) to (insert date). This report, filed under EIN #(insert EIN), is available on the Federal Audit Clearinghouse Single Audit Database website (<https://harvester.census.gov/facweb/>) or will be by (insert date).

OR

Single Audit Report **was not** required:

My organization was not required to submit a Single Audit report last year.

**G. Assurances**

Include the appropriate signed and dated Assurances form available online at <http://apply07.grants.gov/apply/FormLinks?family=15>. Use the **Assurances for Construction Programs (SF 424D)** for construction and land acquisition projects. Use the **Assurances for Non-Construction Programs (SF 424B)** for all other types of projects. Signing this form does not mean that all items on the form are applicable. The form contains language that states that some of the assurances may not be applicable to your organization and/or your project or program.

- H. Certification and Disclosure of Lobbying Activities:** Under Title 31 of the United States Code, Section 1352, an applicant or recipient must not use any federally appropriated funds (both annually appropriated and continuing appropriations) or matching funds under a grant or cooperative agreement award to pay any person for lobbying in connection with the award. Lobbying is defined as influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress connection with the award. Submission of an application also represents the applicant's certification of the statements in [43 CFR Part 18, Appendix A-Certification Regarding Lobbying](#). If you/your

organization have/has made or agrees to make any payment using non-appropriated funds for lobbying in connection with this proposal AND the Federal share exceeds \$100,000, complete and submit the [SF LLL, Disclosure of Lobbying Activities](#). See 43 CFR, Subpart 18.100 for more information on when additional submission of this form is required.

- I. Required Overlap/Duplication Statement:** Applicants must provide a statement that addresses if there is any overlap between the proposed project and any other active or anticipated projects in terms of activities, costs, or time commitment of key personnel. If any overlap exists, applicants must provide a description of the overlap in their application. Applicants must also state if the proposal submitted for consideration under this program is/is not in any way duplicative of any proposal that was/will be submitted for funding consideration to any other potential funding source (Federal or non-Federal). If such a circumstance exists, applicants must detail when the other duplicative proposal(s) were submitted, to whom (entity name and program), and when funding decisions are expected to be announced. If at any time a proposal is awarded funds that would be duplicative of the funding requested from the Service, applicants must notify the Service point of contact for this funding opportunity immediately.

#### **Application Checklist**

- ☐ DUNS Registration (see requirement in Section III Basic Eligibility Requirements, A Duns Registration)
- ☐ SAM active registration (see requirement in Section III Basic Eligibility Requirements, B Entity Registration in SAM)
- ☐ Evidence of non-profit status: If a non-profit organization, a copy of their Section 501(c)(3) or (4) status determination letter received from the Internal Revenue Service.
- ☐ SF 424, Application for Federal Assistance: A complete, signed and dated SF 424, SF 424-Mandatory, or SF 424- Individual form
- ☐ SF 424 Budget form: A complete SF 424A or SF 424C Budget Information form
- ☐ SF 424 Assurances form: Signed and dated SF 424B or SF 424D Assurances form
- ☐ Project Title Page and Summary
- ☐ Project Narrative
  - Statement of need
  - Project Goals and Objectives
  - Project Framework, Activities and Timetables
  - Data Management
  - Stakeholder Coordination/Involvement
  - Project Monitoring and Evaluation
  - Description of Entities Undertaking the Project
  - Literature Cited
  - Single Audit Statement
- ☐ Timetables (two)
- ☐ Description of key personnel qualifications, if applicable
- ☐ Single Audit Reporting statement: If a U.S. state, local government, federally-recognized Indian tribal government, or non-profit organization, statements regarding applicability of and compliance with 2 CFR 200, Subpart F, Audit Requirement
- ☐ Budget Justification
- ☐ Federally-funded equipment list: If Federally-funded equipment will be used for the project, a list of that equipment

- ☐ NICRA: When applicable, a copy of the organization's current Negotiated Indirect Cost Rate Agreement
- ☐ Conflict of Interest Disclosures: When applicable, written notification of any actual or potential conflicts of interest that may arise during the life of this award.
- ☐ SF LLL form: If applicable, completed SF-LLL Disclosure of Lobbying Activities form

Failure to provide complete information may cause delays, postponement, or rejection of the application.

## **V. Submission Instructions**

**SUBMISSION DEADLINE:** All proposals must be received by the US Fish & Wildlife Service by 11:59 AM, time zone: Alaska Standard Time (AKST) July 20, 2017

These due dates represent the times and dates when proposals are submitted into the Grants.gov. Applicants are encouraged to initiate the submission process several days in advance to have adequate time for establishing an account and entering the required information.

**Intergovernmental Review:** Before submitting an application, **U.S. state and local government** applicants should visit the following website ([https://whitehouse.gov/omb/grants\\_spoc](https://whitehouse.gov/omb/grants_spoc)) to determine whether their application is subject to the state intergovernmental review process under Executive Order (E.O.) 12372 "Intergovernmental review of Federal Programs." E.O. 12372 was issued to foster the intergovernmental partnership and strengthen federalism by relying on state and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The E.O. allows each state to designate an entity to perform this function. The official list of designated entities is posted on the website. Contact your state's designated entity for more information on the process the state requires to be followed when applying for assistance. States that do not have a designated entity listed on the website have chosen not to participate in the review process.

**Funding Restrictions:** Funding for construction projects are not allowed through this funding opportunity. Equipment purchases must be under \$3,500.00

**Submission Requirements:** Submit proposals electronically through Grants.gov. If you are unable to submit through <http://grants.gov>, please contact the project officer for approval to submit through other means.

To submit a proposal in Grants.gov, go to the Grants.gov Apply for Grants page (<https://www.grants.gov/web/grants/home.html>) for an overview of the process to apply for grant opportunities on Grants.gov. In order to apply for a grant, you/your organization must complete the Grants.gov registration process. Registration can take between three to five business days or as long as two weeks if all steps are not completed in a timely manner.

Please do not assign application attachments file names longer than 20 characters, including spaces. Assigning file names longer than 20 characters will create issues in the automatic interface between Grants.gov and the USFWS' new financial assistance management system. If possible, please start the file name with the lead principle investigator's last name followed by their first initial.

## **VI. Application Review**

Proposals will be evaluated by a subset of the Western Alaska LCC Steering Committee and LCC staff using a tiered evaluation approach. Applicants may be contacted to provide additional or clarifying information. Proposals will be scored with respect to all criteria listed below, with scores summed across criteria. Proposals with total scores in the moderate to high range will then be evaluated with respect to additional criteria, including: potential impact of the expected products on the topics(s) addressed and overall contribution to the goals of the LCC.

The Steering Committee will select a proposal for funding in consideration of both the individual project evaluation and the ability of the final selection to provide the best foundation for the Western Alaska LCC to meet its conservation goals.

**Criteria:**

**1. Applicant Capability to Satisfactorily Complete Proposed Work**

Does the proposal demonstrate that the applicant has sufficient experience to successfully complete the project, taking into account such factors as the applicant's 1) past performance in successfully facilitating and leading groups similar in size, scope and relevance to the proposed project; 2) organizational experience and plan for timely and successfully achieving the objectives of the; 3) staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully lead the training and work session participants through a modification Open Standards for Conservation Process; and 4) experience in adjusting the Open Standards process that demonstrate the capability of the applicant to create a process that melds indigenous knowledge and western science; 5) experience/familiarity working with land and resource management entities, and/or other targeted stakeholders in the Yukon Kuskokwim Delta region.

**2. Usability/Applicability**

Does the proposal clearly articulate the applicant's ability to provide a framework to help stakeholders develop and implement climate adaptation strategies? Does the proposal incorporate the Open Standards for Conservation into their framework? Does the proposal clearly articulate the relevant information needs of the targeted stakeholders, identify the measurable outcomes and products that will be developed from the project, and how they will be utilized by the targeted stakeholders? Does the proposal clearly articulate a process for ensuring that products are designed and delivered to stakeholders in a manner that is most useable to decision-makers in the region?

**3. Experience with the Open Standards Process**

To what extent does the applicant have experience using the Open Standards for Conservation Process? To what extent does the applicant have experience teaching, facilitating, and leading groups through the Open Standards process? Does the applicant have experience to modify the Open Standards process to place an equal emphasis on indigenous knowledge and science?

**4. Partnerships & Engagement of stakeholders**

Does the proposal describe an inclusive process that engages diverse stakeholders and different cultural perspectives? To what extent does the project strengthen existing partnerships and/or initiate new partnerships and collaborations? Does the applicant propose approaches that will ensure that the diverse stakeholders will see their goals/values represented in the process? Does the applicant demonstrate the capacity to build relationships with LCC Steering Committee, partners, and diverse group of state, federal, and tribal entities especially when controversial subjects are being discussed? Does the applicant have prior experience working with stakeholders in the Yukon Kuskokwim Delta on conservation or planning efforts?

**5. Applicant capability to facilitate organizational transformation in a partnership setting**

Does the applicant demonstrate how they will strengthen partnerships and facilitate the LCC Steering Committee to assume LCC staff roles in this project if LCC staff is removed?

**6. Leveraging**

To what extent does the applicant describe opportunities and capabilities to expand funding for this effort beyond funding provided by the LCC?

## **7. Timeline and Costs**

Are there two clear tables detailing appropriate timelines and associated measurable milestones, objectives, accomplishments, and deliverables that can be used to track and evaluate project performance through the entire award period under the current funding scenario and additional funding scenario? Is the justification and allocation of the budget, in terms of the work to be performed, unreasonably high or low?

**SCORING GUIDELINES** – applies to each criterion.

High - The proposal responds to the criterion in a manner that leaves no questions from the reviewer that the applicant will successfully fulfill the criterion.

Medium –The proposal responds to most of the components of the criterion in a manner that results in only minor, non-scientific, easily addressed concerns that the proposed work will satisfy the criterion.

Low – The response to the criterion was insufficient to allow the reviewers to believe that the proposed action, as written, would address the criterion’s intent.

Prior to participating in any review or evaluation process, all staff and peer reviewers, evaluators, panel members, and advisors must complete the applicable Conflict of Interest form; Conflict of Interest FWS FA Source Selection form or Conflict of Interest Form Other than FWS FA Source Selection.

Prior to award, the Service reviews the selected applicant’s statement regarding potential overlap or duplication in terms of activities, funding, or time commitment of key personnel and makes a determination regarding Service funding. Depending on the circumstances, modification of the application, other pending applications, or an active award may be necessary, or the Service might choose to not fund the proposed project.

Each fiscal year, for every entity receiving one or more awards in that fiscal year, the Service conducts a risk assessment based on eight risk categories. The result of this risk assessment is used to establish a monitoring plan for all awards to the entity in that fiscal year. For a copy of the Service’s risk assessment form, go to <https://www.fws.gov/grants/atc.html>.

Prior to approving an award with a Federal funding amount that exceeds or is expected to exceed the simplified acquisition threshold, as adjusted (see 2 CFR 200.88), the Service must review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS; <https://www.fapiis.gov/fapiis/index.action>) to determine if, at a minimum, the information found in the system for the applicant demonstrates a satisfactory record of Federal award performance and integrity and business ethics (see 2 CFR 200.205(a)(2)). The Service must also report to FAPIIS if an applicant subject to this review is found not qualified for a particular award due to its prior record of integrity or performance under Federal awards (see 2 CFR 200.212).

## **VII. Award Administration**

**Award Notices:** Following review, applicants may be requested to revise the project scope and/or budget before an award is made. Successful applicants will receive written notice in the form of a notice of award document. Notices of award are typically sent to recipients by e-mail. If e-mail notification is unsuccessful, the documents will be sent by courier mail (e.g., FedEx, DHL or UPS). Award recipients are not required to sign/return the Notice of Award document. Acceptance of an award is defined as starting work, drawing down funds, or accepting the award via electronic means. Awards are based on the application submitted to, and as approved by, the Service. The notice of award document will include instructions specific to each recipient on how to request payment. If applicable, the instructions will detail any additional information/forms required and where to submit payment requests. Applicants whose projects are not selected for funding will receive written notice, most often by e-mail, within 30 days of the final review decision.

**Domestic Recipient Payments:** Prior to award, the Service program office will contact you/your organization to either enroll in the U.S. Treasury's Automated Standard Application for Payments (ASAP) system or, if eligible, obtain approval from the Department of the Interior to be waived from using ASAP.

**Foreign Recipient Payments:** Foreign recipients receiving funds to a bank outside of the United States will be paid electronically through U.S. Treasury's International Treasury Services (ITS) system.

Foreign recipients receiving funds electronically to a bank in the United States will be paid by Electronic Funds Transfer (EFT) through the Automated Clearing House network. Foreign recipients who wish to be paid to a bank account in the United States must enter and maintain current banking information in SAM (see Section III).

The Notice of Award document from the Service will include instructions specific to each recipient on how to request payment. If applicable, the instructions will detail any additional information/forms required and where to submit payment requests.

**Transmittal of Sensitive Data:** Recipients are responsible for ensuring any sensitive data being sent to the Service is protected during its transmission/delivery. The Service strongly recommends that recipients use the most secure transmission/delivery method available. The Service recommends the following digital transmission methods: secure digital faxing; encrypted emails; emailing a password protected zipped/compressed file attachment in one email followed by the password in a second email; or emailing a zipped/compressed file attachment. The Service strongly encourages recipients sending sensitive data in paper copy to use a courier mail service. Recipients may also contact their Service Project Officer and provide any sensitive data over the telephone.

**Award Terms and Conditions:** Acceptance of a financial assistance award (i.e., grant or cooperative agreement) from the Service carries with it the responsibility to be aware of and comply with the terms and conditions applicable to the award. Acceptance is defined as the start of work, drawing down funds, or accepting the award via electronic means. Awards are based on the application submitted to and approved by the Service and are subject to the terms and conditions incorporated into the notice of award either by direct citation or by reference to the following: Federal regulations; program legislation or regulation; and special award terms and conditions. The Service's Standard Award Terms and Conditions are available on the Internet at <https://www.fws.gov/grants/atc.html>. If you do not have access to the Internet and require a full text copy of the award terms and conditions, contact the Service point of contact identified in the Agency Contacts section below.

**Special Award Terms and Conditions:**

**High Risk Recipients-** When a recipient has been determined to be high risk, we must provide justification for placing them on high risk status, and detail the additional conditions applicable to them (e.g., payment restrictions or increased reporting frequency requirements). Since such restrictions and/or additional requirements will vary by circumstance, standard award condition text is not provided for this situation. Refer to 2 CFR 200.207 to develop specific award conditions for the recipient.

**Individuals Hiring Contractors-** The Recipient has an obligation to protect themselves from potential liability when hiring any contractor to perform work activities approved under this award on property owned by the Recipient by checking references and ensuring that any contractor hired is licensed, bonded, and has valid employee insurance coverage for events of injury or bodily harm.

**Recipient Reporting Requirements:**

i. **Financial and Performance Reports:** Interim financial reports and performance reports may be required. Interim reports will be required no more frequently than quarterly, and no less frequently than annually. A final financial report and a final performance report will be required and are due within 90 calendar days of the end date of the award. Performance reports must contain: 1) a comparison of actual accomplishments with the goals and objectives of the award as detailed in the approved scope of work; 2) a description of reasons why established goals were not met, if appropriate; and 3) any other pertinent information relevant to the project results.

ii. **Significant Development Reports (SDR):**

Events may occur between the scheduled performance reporting dates that have significant impact upon the supported activity. In such cases, recipients are required to notify the Service in writing as soon as the following types of conditions become known:

- Problems, delays, or adverse conditions that will materially impair the ability to meet the objective of the Federal award. This disclosure must include a statement of any corrective action(s) taken or contemplated, and any assistance needed to resolve the situation.
- Favorable developments that enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more or different beneficial results than originally planned.

The Service will specify in the notice of award document the reporting and reporting frequency applicable to the award.

iii. **Conflict of Interest Disclosures (COI):**

The recipient must establish safeguards to prohibit its employees and subrecipients from using their positions for purposes that constitute or present the appearance of a personal or organizational conflict of interest. The recipient is responsible for notifying the Grants Officer in writing of any actual or potential conflicts of interest that may arise during the life of this award. Conflicts of interest include any relationship or matter which might place the recipient or its employees in a position of conflict, real or apparent, between their responsibilities under the agreement and any other outside interests. Conflicts of interest may also include, but are not limited to, direct or indirect financial interests, close personal relationships, positions of trust in outside organizations, consideration of future employment arrangements with a different organization, or decision-making affecting the award that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the recipient and/or recipient's employees and subrecipients in the matter.

The Grants Officer and the servicing Ethics Counselor will determine if a conflict of interest exists. If a conflict of interest exists, the Grants Officer will determine whether a mitigation plan is feasible. Mitigation plans must be approved by the Grants Officer in writing. Failure to resolve conflicts of interest in a manner that satisfies the government may be cause for termination of the award.

Failure to make required disclosures may result in any of the remedies described in 2 CFR 200.338; including suspension or debarment (see also 2 CFR part 180).

iv. **Other Mandatory Disclosures:**

The non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Non-Federal entities that have received a Federal award including the term and condition outlined in 2 CFR 200, Appendix XII—Award Term and Condition for Recipient Integrity and Performance Matters are required to report certain civil, criminal, or administrative proceedings to SAM.



Failure to make required disclosures can result in any of the remedies described in 2 CFR 200.338 Remedies for noncompliance, including suspension or debarment. (See also 2 CFR Part 180, 31 U.S.C. 3321, and 41 U.S.C. 2313.)

2 CFR Part 200, Appendix XII—Award Term and Condition for Recipient Integrity and Performance Matters is applicable to awards with a total Federal share of more than \$500,000, except those to individuals and foreign public entities.

**VIII. Federal Awarding Agency Contact(s)**

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